



DOCUMENT CONTROL

PROCEDURE ID: YMP-LBNL-QIP-6.0

REV. 1, MOD. 1

EFFECTIVE: 1/10/97

1. PURPOSE

This procedure describes the requirements and responsibilities for the release, distribution and maintenance of YMP-LBNL controlled documents to ensure their accessibility at the location where quality affecting work is being performed.

2. SCOPE

This procedure applies to specific approved YMP-LBNL implementing documents, and documents that specify technical or quality requirements or prescribe quality affecting activities. The process for creation, review of and changes to documents are described in the applicable procedures.

3. PROCEDURE

3.1. Identification and Release

3.1.1. The document originator or responsible manager shall:

- A. identify an implementing document and/or document for controlled distribution if that document specifies technical or quality requirements or prescribes quality affecting activities; and
- B. prior to release, provide special handling instructions to the Document Control Office for documents containing proprietary or otherwise sensitive information.

3.1.2. The responsible manager or document originator shall:

- A. ensure the document is adequate, correct, complete, created or changed according to YMP-LBNL-QIP-5.2, Preparing Quality & Technical Implementing Procedures, reviewed according to YMP-LBNL-QIP 6.1, Document Review, and contains as appropriate:
 - 1) Document Title;
 - 2) Document ID Number;
 - 3) Appropriate Approval(s);
 - 4) Effective Date;
- B. complete the Document Control Action Request (DCAR) (Attachment I) and include instructions for the recipients of the document;
- C. obtain the responsible manager's approval signature on the DCAR which approves the document for release;

- D. compile and submit to the Document Control Office:
 - 1) a reproducible copy (preferably original) of the document approved for control;
 - 2) the initial distribution list and distribution instructions;
 - 3) the completed and approved DCAR.

3.2. Distribution

- 3.2.1. The Document Control Staff shall;
 - A. review the document submittal for completeness;
 - B. review the document for legibility, reproducibility and completeness;
 - C. return incomplete submittals or deficient documents to the originator.
- 3.2.2. The Document Control Staff shall handle proprietary or otherwise sensitive documents in accordance with established LBNL procedures and instructions provided by the originator or responsible manager.
- 3.2.3. The Document Control Staff shall provide for each person on the distribution list:
 - A. an electronic media or hard copy of the document that is clearly marked as controlled by way of a red stamp and unique recipient number;
 - B. a Controlled Document Instruction form (CDI) (Attachment II) with:
 - 1) instructions pertinent to the subject document; and
 - 2) a response date by which the recipient or designee acting on the recipient's behalf should sign and return the CDI as acknowledgment of document receipt.
- 3.2.4. The Document Control Staff shall distribute, in accordance with Section 3.2.3 of this procedure, controlled document revisions that have been prepared in accordance with Section 3.1 of this procedure.
- 3.2.5. The Document Control Staff shall submit a Controlled Document Notification form (CDN) (Attachment III) as a reminder notice to recipients who have not acknowledged receipt of the document within prescribed time period.
- 3.2.6. recipient or designee acting on the recipient's behalf should acknowledge receipt of the document by signing and returning the

CDI or CDN to the Document Control Office by the Due Date provided in the instruction section of the CDN.

3.2.7. The Document Control Staff shall:

- A. submit a CDN as a decontrol notice to a recipient who has not responded to the CDN reminder within the prescribed time period; and
- B. remove the subject recipient from the document distribution list.
- C. inform Quality Assurance Manager and Project Manager to take appropriate measures.

3.3. Receipt/Use

3.3.1. The recipient shall acknowledge receipt of the controlled document in accordance with Section 3.2.3.B of this procedure.

3.3.2. The recipient shall:

- A. make the document readily available for the performance of work for which the document is required;
- B. use only the latest revision with all approved changes;
- C. destroy or mark a decontrolled or superseded document accordingly.

3.4. Maintenance

3.4.1. Responsible managers and/or recipients shall identify needed additions or deletions to the document distribution lists by submittal of a DCAR to the Document Control Office.

3.4.2. The Document Control Staff shall take actions appropriate to DCARs submitted under Section 3.4.1. of this procedure. Such actions may include but are not limited to:

- 1) adding or deleting a recipient from the distribution list;
- 2) decontrolling a controlled document copy;
- 3) advise a recipient to destroy, mark as superseded or return to the Document Control Office a previously controlled document copy;
- 4) provide an uncontrolled information copy of the document;
- 5) replace a lost or damaged controlled document copy.

3.4.3. The Document Control Office shall update the status of each controlled document copy and controlled document list as pertinent information is created or received.

4. RECORDS MANAGEMENT

4.1. Lifetime

None.

4.2. Non-permanent

Attachments 1, 2, and 3.

4.3. Controlled Documents

None

4.4. Records Center Documents

Records associated with this procedure shall be submitted to the YMP-LBNL Local Records Processing Center according to YMP-LBNL-QIP-17.0.

5. RESPONSIBILITIES

5.1. Document Originator or Responsible Manager is responsible for identifying and preparing documents, developing complete submittal packages and providing appropriate handling instructions for controlled distribution.

5.2. Document Control Staff is responsible for reviewing submitted documents and document packages for completeness, processing and distributing controlled documents and maintaining controlled distribution lists.

5.3. Recipient of controlled document is responsible for updating and maintaining his/her assigned controlled copy, confirming controlled copy receipt and ensuring appropriate controlled documents are available at the location of quality affecting work.

6. ACRONYMS AND DEFINITIONS

6.1. Acronyms

CDI: Controlled Document Instruction form.

CDN: Controlled Document Notification form.

DCAR: Document Control Action Request form.

QARD: Quality Assurance Requirements and Description.

QIP: Quality Implementing Procedure.

TIP: Technical Implementing Procedure.

6.2 Definitions

Controlled Document: A document that is prepared, reviewed, and approved in accordance with established implementing documents, subject to a defined change process, and subject to controlled distribution. Controlled documents may specify technical or quality requirements or prescribe quality affecting activities.

Originator: An individual responsible for assembling a controlled document submittal and for obtaining approval for the document release.

Quality Affecting: Any activity that may affect the overall design, development, or performance of the Yucca Mountain Project.

Recipient: An individual or organization to whom a controlled document is distributed.

Recipient Number: A unique identifier assigned to each controlled document recipient.

Responsible Manager: The designated organizational position with responsibility for approving the release of a document to be controlled.

7. REFERENCES

QARD, Rev. 5, Section 6- Document Control

YMP-LBNL-QIP 5.2, Preparing Quality & Technical Implementing Procedures

YMP-LBNL-QIP 6.1, Document Review

YMP-LBNL-QIP 17.0, Submitting Records to the YMP-LBNL Record Processing Center

8. ATTACHMENTS

Attachment I Document Control Action Request (DCAR)

Attachment II Controlled Document Instruction (CDI)

Attachment III Controlled Document Notification (CDN)

9. REVISION HISTORY

9/6/95-Revision 0, Modification 1:

Modifications for administrative changes and to delete procedures that are not required.

5/3/96-Revision 1

Revised Document to incorporate changes reflected in QARD Rev. 5.

1/10/97- Revision 1, Mod. 1:

Modification to incorporate changes reflected in YMP-LBNL-QIP-6.1, Rev.1 and to substitute references YMP-LBNL-QIP-5.0 and YMP-LBNL-QIP-5.1 with YMP-LBNL-QIP-5.2. The changes were incorporated in pages 1 through 5 of the modified document.

10. APPROVALS

Preparer:

Date

Technical Reviewer:

Date

Technical Reviewer:

Date

QA Reviewer:

Date

Quality Assurance Manager:

Date

Project Manager:

Date